



TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/085,497
	Filing Date	April 11, 2003
	First Named Inventor	Mark A. Tschiegg
	Art Unit	Not Yet Assigned
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	401364

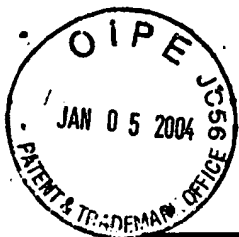
ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Certificate of Mailing & Return Post Card
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Peter C. Knops LATHROP & GAGE LC
Signature	
Date	January 5, 2004

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being transmitted to the USPTO by depositing with the United States Postal Service with sufficient postage as express mail (Label No.: EV 210656485 US) in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.		
Typed or printed name	Wendy Precht	
Signature		Date January 5, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Mark A. Tschiegg, et al.

Matter No.

401364

Serial No.

10/085,497

Filing Date

April 11, 2003

Examiner

Not Yet Assigned

Group Art Unit

Unknown

Invention Risk Management Information Interface System and Associated Method

I hereby certify that this Transmittal Form (1 page); Response to Missing Parts (2 pages in duplicate); Copy of Notice to File Missing Parts Of Nonprovisional Application (1 page); Declaration For Utility Or Design Patent Application (6 pages); Fee Transmittal For FY 2004 (1 page in duplicate); Petition For Extension of Time Under 37 CFR 1.136(a) (1 page in duplicate); authorization to charge \$1610.00 (\$130 for the late filing of declaration and \$1480 for the petition fee); authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; and return post card are being mailed in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 5th day of January, 2004.

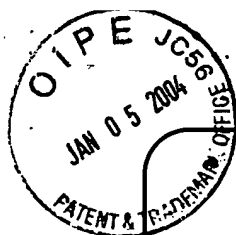
Wendy Precht

Name of Depositor

Signature of Depositor

EV 210656485 US

Express Mail Label No.



FEE TRANSMITTAL for FY 2004

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1610

Complete if Known

Application Number	10/085,497
Filing Date	April 11, 2003
First Named Inventor	Mark A. Tschiegg
Examiner Name	Not Yet Assigned
Art Unit	Not Yet Assigned
Attorney Docket No.	401364

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number

12-0600

Deposit
Account
Name

LATHROP & GAGE LC

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		-20 **	=	0	X		=	0
Independent Claims		-3 **	=	0	X		=	0
Multiple Dependent					X		=	0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	130
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1480	2254	740	Extension for reply within fourth month	1480
1255	2010	2255	1005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1330	2453	665	Petition to revive - unintentional	
1501	1330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 1610

SUBMITTED BY

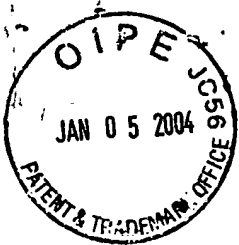
Complete (if applicable)

Name (Print/Type)	Peter C. Knops	Registration No. (Attorney/Agent)	37,659	Telephone	(816) 460-5826
Signature		Date	January 5, 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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01 - 06 - 04
21 C9

PATENT
Attorney Docket No.: 401364
Express Mail Label No.: EV 210656485 US

MP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Mark A. Tschiegg, et al.
Serial No.: 10/085,497
Filed: April 11, 2003
For Risk Management Information
Interface System and Associated
Method

Examiner: Not Yet Assigned
Group Art No.: Not Yet Assigned
Confirmation No. 4208

January 5, 2004

Mail Stop MISSING PARTS
Commissioner For Patent
P.O. Box 1450
Alexandria, VA 22313-1450

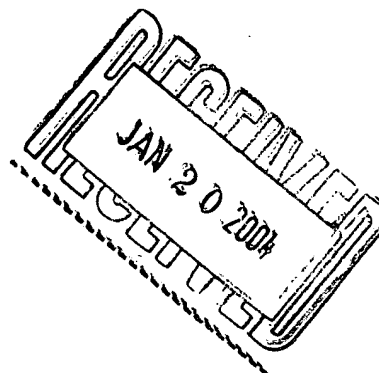
RESPONSE TO MISSING PARTS

Dear Sir:

In response to the Notice of Missing Parts dated July 3, 2003 (copy appended), enclosed herewith find the following:

1. Declaration For Utility Or Design Patent Application;
2. Fee Transmittal for FY 2004;
3. Petition For Extension Of Time Under 37 CFR 1.136(a).

Pursuant to 37 CFR 1.20, the \$130.00 fee which is due in connection with this late filing of the Declaration and \$1480 for the petition fee should be applied against our Deposit Account No. 12-0600. Any additional fee which might be due in connection with this request should be applied against our Deposit Account No. 12-0600.

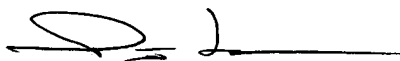


PATENT
Attorney Docket No.: 401364
Express Mail Label No.: EV 210656485 US

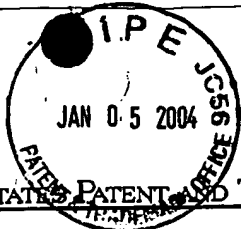
The Examiner is encouraged to contact the undersigned if prosecution of the application may be expedited thereby.

Respectfully submitted,

LATHROP & GAGE LLC



Peter C. Knops, Reg. No. 37,659
2345 Grand Boulevard, Suite 2800
Kansas City, MO 64108
Tel No: 816/460-5826
Fax No: 816/292-2001



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
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 Alexandria, Virginia 22313-1450
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/411,912	04/12/2003	Mark A. Tschiegg	401364

Dan Cleveland, Jr.
 Lathrop & Gage L.C.
 Suite 300
 4845 Pearl East Circle
 Boulder, CO 80301

CONFIRMATION NO. 4208

FORMALITIES LETTER



OC000000010425164

Date Mailed: 07/03/2003

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

*A copy of this notice **MUST** be returned with the reply.*

B. J.
 Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01/09/2004 BABRAHA1 00000019 120600 10085497

01 FC:1051 130.00 DA

01/14/2004 BABRAHA1 00000011 120600 10411912

01 FC:1051 130.00 DA